

NDIS Verification Audit-Readiness Checklist

For sole traders and micro providers delivering verification-only (lower risk) NDIS supports

By StandardsPack • Sources accessed 15 Oct 2026

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What this checklist is (and isn't)

If you only deliver lower risk, lower complexity supports, your registration is assessed by an approved quality auditor against the four standards of the NDIS Practice Standards Verification Module: human resource management, incident management, complaints management, and risk management. A verification audit is a desktop review of your documentary evidence (S19).

The auditor must consider evidence that is proportionate to your size and the supports you deliver: a sole trader is not expected to have the same paperwork as a national provider (S4, S1).

This checklist turns the Verification Module's quality indicators and the related Rules into 26 yes/no questions. It helps you find gaps. It is not the official audit tool, and a high score does not mean you will pass an audit or be registered.

How to use it

1. Answer each question honestly: tick Yes only if you could show written evidence today.
2. Count your Yes answers for your score out of 26.
3. For every No or Not sure, write the action and a target date in the 'Gap action' column.
4. Check the source IDs (listed at the end) for the exact official wording, especially if your supports are unusual.

Human resource management

#	Check	Answer	Official source	Gap action / date
1	I hold proof of identity for myself and every worker who delivers supports.	☐ Yes ☐ No ☐ Not sure	S1, S2 (HR indicator 1). S4 (May 2025) described 100 points of ID — check current auditor expectations.	
2	I hold evidence of the right to work in Australia for myself and every worker.	☐ Yes ☐ No ☐ Not sure	S1, S2 (HR indicator 1)	
3	For each registration group I deliver, I hold the qualification, registration or membership evidence the Commission lists for my profession (certified copies where required).	☐ Yes ☐ No ☐ Not sure	S1 (HR indicator 1); S3 (Nov 2025 profession requirements)	
4	I (as a sole trader I am both key personnel and in a risk-assessed role) and every worker in a risk-assessed role hold a current NDIS worker screening clearance, and I have checked it in the NDIS Commission Portal.	☐ Yes ☐ No ☐ Not sure	S11	
5	I keep a written record of my risk-assessed roles and of each worker in those roles (with the details the	☐ Yes ☐ No	S11	

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	Commission lists), kept for 7 years.	☐ Not sure		
6	I and every worker have completed the NDIS Worker Orientation Module ('Quality, safety and you') and I keep the certificates.	☐ Yes ☐ No ☐ Not sure	S1, S2 (HR indicator 2); S14	
7	I keep records of continuing professional development (CPD) for myself and every worker.	☐ Yes ☐ No ☐ Not sure	S1, S2 (HR indicator 2)	
8	Every worker (including me) is trained, with refresher training, in infection prevention and control standard precautions (hand hygiene, respiratory hygiene, cough etiquette), and I keep records.	☐ Yes ☐ No ☐ Not sure	S1, S2 (HR indicator 3)	
9	Every worker who supports participants directly is trained (with refreshers) in using PPE, and PPE is available to each worker and participant who needs it.	☐ Yes ☐ No ☐ Not sure	S1, S2 (HR indicators 4–5)	

Incident management

#	Check	Answer	Official source	Gap action / date
10	I have a written incident management system (policy and procedure) that suits the size of my business and the supports I deliver.	☐ Yes ☐ No ☐ Not sure	S1 (Incident indicator); S5 s8, s12(1)(a)	
11	My procedure says how incidents are identified, recorded and reported, who they are reported to, who notifies the Commission of reportable incidents, how affected people are supported (including access to advocates) and involved, when I investigate, and when corrective action is needed.	☐ Yes ☐ No ☐ Not sure	S5 s10(1); S7	
12	My procedure requires every incident to be assessed (could it have been prevented, how well it was managed, what remedial action is needed, who else must be told), considering the views of the person with disability affected.	☐ Yes ☐ No ☐ Not sure	S5 s10(3)–(4)	
13	I know the reportable incident types and the timeframes (24 hours / 5 business days), and I can access the NDIS Commission Portal to notify them (new Portal for incidents from 12 Oct 2026).	☐ Yes ☐ No ☐ Not sure	S5 s16, s20–21; S8	
14	My incident register/form captures the minimum details required by the Rules, and records are kept for 7 years.	☐ Yes ☐ No ☐ Not sure	S5 s12(2)–(4)	
15	I give participants, their families/carers/advocates and any workers a copy of my incident system in an accessible form and help them understand it.	☐ Yes ☐ No ☐ Not sure	S5 s12(1)(b)–(c)	
16	My system includes procedural fairness, training for anyone I engage, and a periodic review of the system.	☐ Yes ☐ No ☐ Not sure	S5 s10(6), s11, s13	

Complaints management

#	Check	Answer	Official source	Gap action / date
17	I have a written complaints management and resolution system that suits my size and supports, lets anyone complain (including anonymously) and is easy and accessible.	☐ Yes ☐ No ☐ Not sure	S1 (Complaints indicator); S6 s8(1), s10(1)(a)	
18	Information on how to complain to me AND to the NDIS Commission is publicly available and given to participants in an accessible form.	☐ Yes ☐ No ☐ Not sure	S6 s8(7), s10(1)(b); S10	
19	My process acknowledges, assesses and resolves complaints fairly, efficiently and on time; keeps the complainant and affected participant involved and informed (including reasons and review options); protects people from adverse effects; keeps information confidential; and follows procedural fairness.	☐ Yes ☐ No ☐ Not sure	S6 s8(3)–(6), s9; S9	

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20	I keep a complaints register (information, actions, outcomes) for 7 years and use the data to spot systemic issues.	☐ Yes ☐ No ☐ Not sure	S6 s10(2)–(4)	
21	My system covers referral to other bodies where required by law (e.g. police), training for anyone I engage, and periodic review.	☐ Yes ☐ No ☐ Not sure	S6 s8(8), s11(3), s12	

Risk management

#	Check	Answer	Official source	Gap action / date
22	I have a documented risk management system that manages work health and safety (WHS) risks, proportionate to my size and supports.	☐ Yes ☐ No ☐ Not sure	S1, S2 (Risk indicator 1)	
23	I hold current certificates of currency for professional indemnity, public liability and accident insurance (personal accident or workers' compensation if I have staff).	☐ Yes ☐ No ☐ Not sure	S1, S2 (Risk indicator 2); S4	
24	My risk management system includes emergency and disaster planning.	☐ Yes ☐ No ☐ Not sure	S1, S2 (Risk indicator 3)	
25	I regularly do risk assessments that consider how much each participant relies on my services for daily living, and how their health and safety would be affected if my services were disrupted.	☐ Yes ☐ No ☐ Not sure	S1, S2 (Risk indicator 4)	
26	Infection prevention and control standard precautions are implemented in every setting where I deliver supports.	☐ Yes ☐ No ☐ Not sure	S1, S2 (Risk indicator 5)	

Your score

Section	Questions	My Yes count
Human resource management	1–9	___ / 9
Incident management	10–16	___ / 7
Complaints management	17–21	___ / 5
Risk management	22–26	___ / 5
Total		___ / 26

Score	What it suggests (not an audit prediction)
26	Your documents appear to cover every indicator in this checklist. Re-check them against the current official sources and your actual practice.
20–25	A few gaps. Close them before you book or prepare for your audit.
13–19	Several gaps. Plan time to write or update policies and collect evidence.
0–12	Significant gaps. Start with worker screening, insurance, and your incident and complaints systems.

A section with any 'No' answers deserves attention even if your total is high, because auditors assess each standard and outcome.

Also worth checking (not scored)

These are not Verification Module quality indicators, but they are related obligations or good practice for registered providers:

- NDIS Code of Conduct: you and every worker understand and follow it. It applies to registered and unregistered providers (S12).
- Privacy: the Privacy Act covers health service providers regardless of turnover. If you provide health services, check whether you must comply with the Australian Privacy Principles, and explain to participants what information you collect and why (S16, S13).
- Notifying the NDIS Commission of changes: for example changes to key personnel, contact details, supports, or events affecting your ability to meet registration conditions (S18).
- Service agreements: NDIS guidance describes what a service agreement should include (S17).
- Using the right document versions: in Nov 2025 the Commission published a newer Qualification and Professional Associations Required Documentation Guide (S3). Check that you are using the current version.

Next steps

- Read the official Verification Module page (S1) and the current Required Documentation Guide (S3).
- Fix gaps in your own words. Your documents should describe what you actually do.
- Talk to your approved quality auditor about what evidence they need for your registration groups.
- If you want templates, the StandardsPack Verification Pack (in development) is mapped to these same checks. Free and paid templates are optional; you can write your own.

Official sources this document is traced to

Sources accessed: 15 Oct 2026. Check each source for updates before relying on this document.

ID	Source	URL
S1	NDIS Commission – NDIS Practice Standards: Verification module (web page)	https://www.ndiscommission.gov.au/rules-and-standards/ndis-practice-standards/verification-module
S2	NDIS Commission – NDIS Practice Standards and Quality Indicators, Version 4, Nov 2021 (PDF), Verification Module pp. 42–43	https://www.ndiscommission.gov.au/sites/default/files/2024-10/ndis-practice-standards-and-quality-indicators.pdf
S3	NDIS Commission – NDIS Practice Standards Qualification and Professional Associations Required Documentation Guide, updated Nov 2025 (PDF)	https://www.ndiscommission.gov.au/sites/default/files/2025-12/NDIS%20Practice%20Standards%20Qualification%20and%20Professional%20Associations%20Required%20Documentation%20Guide%20Plan%20Nov%202025%20.pdf
S4	NDIS Commission – NDIS Practice Standards Verification Module – Required Documentation, May 2025 (PDF) – POSSIBLY SUPERSEDED by S3, see review-notes	https://www.ndiscommission.gov.au/sites/default/files/2025-05/ndis-verification-module-required-documentation.pdf
S5	National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018 (F2018L00633), Federal Register of Legislation	https://www.legislation.gov.au/F2018L00633/latest/text
S6	National Disability Insurance Scheme (Complaints Management and Resolution) Rules 2018, Compilation No. 1 (in force 28 Jan 2026), Federal Register of Legislation	https://www.legislation.gov.au/F2018L00634/latest/text
S7	NDIS Commission – Incident management (web page)	https://www.ndiscommission.gov.au/rules-and-standards/reportable-incidents-and-incident-management/incident-management
S8	NDIS Commission – Reportable incidents (web page, incl. new Portal from 12 Oct 2026)	https://www.ndiscommission.gov.au/rules-and-standards/reportable-incidents-and-incident-management/reportable-incidents
S9	NDIS Commission – Complaints about supports and services you provide (web page)	https://www.ndiscommission.gov.au/complaints/complaints-about-supports-and-services-you-provide
S10	NDIS Commission – Report an issue or make a complaint (web page; contact numbers)	https://www.ndiscommission.gov.au/complaints/report
S11	NDIS Commission – Worker screening for registered providers (web page)	https://www.ndiscommission.gov.au/workforce/worker-screening/worker-screening-registered-providers
S12	NDIS Commission – NDIS Code of Conduct (web page)	https://www.ndiscommission.gov.au/rules-and-standards/ndis-code-conduct
S13	NDIS Commission – The NDIS Code of Conduct: Guidance for NDIS providers (PDF)	https://www.ndiscommission.gov.au/sites/default/files/2024-10/Code-of-Conduct-Provider-Guidance.pdf
S14	NDIS Commission – Online training / Worker orientation	https://www.ndiscommission.gov.au/workers/training-course

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	module (web page)	
S16	OAIC – Small business (Privacy Act coverage incl. health service providers)	https://www.oaic.gov.au/privacy/privacy-guidance-for-organisations-and-government-agencies/organisations/small-business
S17	NDIS (NDIA) – How to make a service agreement (participant-facing web page)	https://www.ndis.gov.au/participants/working-providers/arranging-supports/how-make-service-agreement
S18	NDIS Commission – Notify us of changes or events (web page)	https://www.ndiscommission.gov.au/provider-registration/notify-us-changes-or-events
S19	NDIS Commission – Types of audits (web page)	https://www.ndiscommission.gov.au/provider-registration/apply-registration/types-audits

NDIS Commission contact (from S10): 1800 035 544 (free call from landlines), TTY 133 677. In an emergency call 000.

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